

Retention and Disposal Schedule

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Related Documents	Location
Policies and Procedures: Records Management Policy Data Protection Policy Freedom of Information Policy Information Technology Security Policy Network Security Policy Freedom of Information: Request Handling Procedure Data Protection: Procedure for Handling Requests for Personal Data Procedure for the Use of Closed Circuit Television Information Requests: Staff Guidance	Intranet / Staff Guidance and Support / IT

Version Control

Version	Date	Action	By Whom
V 3	20/10/2021	Deemed effective as was laid before Assembly for 10 sitting days with no objections	Heather Gardiner (Data Protection Officer)
V3.1	07/10/2022	Review and updated	Information Asset Owners
V3.2	08/08/2024	Review and update information with additions/changes	Data Protection Officer
V3.3	09/09/24	Review of updates made by DPO on 8/8/24 & retention periods established for records that PRONI appraised and deemed not required.	Data Protection Steering Group
V3.4	10/01/25	Further updates from Finance, CEO, Assets.	Information Asset Owners
V3.5	28/02/25	Changes made from DPSG meeting on 21/01/25	Data Protection Steering Group
V3.6	21/7/25	Suggested amendments from PRONI Validation Panel on 23/4/25	Data Protection Officer
V3.7	31/7/25	Changes approved by DPSG on 29/7/25 and some further minor amendments made from Marketing on 31/7/25	Data Protection Officer
V3.8	1/12/25	Notes received from PRONI on 5/11/25 and changes from Teams call between PRONI and DPO on 1/12 25	Data Protection Officer
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V3.9	19/2/26	Minor changes approved by DPSG.	Data Protection Steering Group
V3.9	23/4/26	Approved by LNI Board as recommended by Business Support Committee	Libraries NI Board
V 3.9	8/5/26	Final version sent to PRONI for final ratification and to be forwarded to DfC and to be laid before Assembly	Data Protection Officer

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Section 1 Introduction

1.1 About Libraries NI

The Northern Ireland Library Authority (Libraries NI) has the statutory responsibility for the provision of public library services in Northern Ireland. Its functions are laid down in the Libraries Act (Northern Ireland) 2008. It is a Non Departmental Public Body which reports to the Department for Communities. The Board of the Authority when fully constituted, consists of a Chairperson and 18 Members the majority of whom must be Councillors, within the meaning of the Local Government Act (Northern Ireland) 2014. All Members of the Board are appointed by the Minister of the Sponsor Department.

Public library services are currently delivered through a network of 96 branch libraries, heritage libraries, mobile libraries and a home call service.

The executive business of the Board is carried out by a team of officers under the leadership of the Chief Executive. The Executive Team is organised into three strategic units each being led by a member of the Senior Management Team:

Chief Executive's Department provides assurance on the adequacy and effectiveness of the organisation's systems of risk management, control and governance. It also provides services to Board Members, other Departments, libraries and the general public.

Library Services Directorate develops and delivers quality services through the public library network, key service priorities, the provision of resources and bibliographic services. It also has responsibility for Strategic Marketing and Communications.

Business Support Directorate supports the provision of public library services through the management of Assets, Finance, Human Resources and Information Systems.

Libraries NI's actions and decisions are guided by its Vision, Mission and Values statements:

Vision: Libraries NI has the vision of being a visible, accessible and inclusive library service at the heart of communities, enhancing lives and valued by all.

Mission: Connecting people with information, ideas and experiences to foster lifelong learning, inspire curiosity, provide enjoyment and strengthen communities.

Values: Caring, Accountable, Responsive.

1.2 Commitment to Preserving Records

Libraries NI recognises that its records are an important public and organisational asset providing evidence of and accountability for decisions, activities and transactions. Libraries NI is committed to managing its records properly and within the law, through the adoption of good practice.

This Retention and Disposal of Records Schedule (the Schedule), the Records Management Policy and the Records Management Procedure set out Libraries NI's approach to the management of records and provide guidance on the measures to be taken to ensure records, both paper and electronic, will be well maintained until either destruction, deletion or transfer to the Public Record Office of Northern Ireland (PRONI) for permanent preservation.

Libraries NI declares that it will take measures to ensure that the records it creates will be appropriately stored and maintained while they are in its custody until either destroyed or transferred to PRONI for permanent preservation. These measures will include:

- Storing records in an appropriate environment, physical or electronic, on or off-site;
- Ensuring appropriate access control mechanisms are put in place to facilitate staff who require continued access to records and information but restrict others;
- Providing searching facilities, electronic or physical index systems, to ensure staff understand what they are holding or not holding;
- Putting in place auditing, finalising and backup policies and regularly testing business continuity procedures and plans for the use of vital records and information.

Where Libraries NI collaborates with other organisations through out-sourcing or partnerships, protocols will be agreed to ensure that records are maintained appropriately and in accordance with good practice.

1.3 Roles and Responsibilities

The **Director of Business Support** (Senior Information Risk Owner (SIRO)) is responsible for developing strategy to ensure that records are managed well across the organisation. The SIRO takes overall ownership of the Organisation's Information Risk Policy, implements and leads the Information Governance (IG) risk assessment and management processes within the Organisation and advises the Board on the effectiveness of information risk management across the Organisation.

The **Head of ICU/ICT (Lead Records Management Officer / Information Governance Manager)** is the key point of contact on all records and information management activities and is responsible for the records management function and the implementation and review of policy and procedure. The role includes compliance monitoring with Public Records Act and Access to Information legislation and ensuring that the disposal actions specified in the schedule are carried out. They will co-ordinate the drafting of the Retention and Disposal schedule according to returns made by individual business areas, based on their administrative needs and legal obligations.

Heads of Sections (Information Asset Owners (IAOs)) are senior individuals involved in running the relevant business area and are responsible for: identifying records; ensuring that records are maintained in accordance with the regulations associated with their business area and corporate policy; providing guidance to staff; reviewing records and making disposal decisions; ensuring that the retention periods listed in the Schedule are appropriate; and, informing Head of ICU/ICT when amendments to the Schedule are required. Their role is to understand what information is held, what is added and what is removed, how information is moved, and who has access and why. Their understanding of the nature of the information they hold informs the requirements of the Retention and Disposal schedule.

Data Protection Officer is part of the Information Governance Team which has day to day responsibility for records management, providing support, advice and updating guidance.

Local Records Officers Local Records Officers will take the lead on records management issues in their section. They will provide records management support and advice to the Information Asset Owners and act as a departmental point of contact for all records management matters. They will promote and champion the records management agenda and ensure that Libraries NI can maximise the organisational benefits derived from implementing robust records management systems.

All Staff are responsible for documenting their actions and decisions in records and for maintaining those records in accordance with good practice, corporate policy and guidance. All staff have a duty to create records in accordance with the organisation's policies, procedures and standards on information management and assurance. They should have a working knowledge of the Corporate File Plan for their business area as well as a basic understanding of Data Protection and Freedom of Information legislation. End Users will be advised locally by their IAO.

Section 2 Operation of the Retention and Disposal Schedule

2.1 Purpose of the Schedule

The Retention and Disposal of Records Schedule (the Schedule) identifies minimum retention periods and disposal arrangements for records, in all formats and media, created or received by Libraries NI. The Schedule complies with the Public Records Act (NI) 1923 and the Disposal of Documents Order (S.R. and O. 1925 No. 167).

2.2 Amendments to the Schedule

If, during the lifetime of the Schedule, new classes of records are identified or it becomes apparent that amendments are required Libraries NI will seek advice from PRONI on whether there is a requirement for the Department to re-draft, and resubmit the Schedule to the NI Assembly.

2.3 Structure of the Schedule

The arrangement of records within the Schedule reflects the business functions, activities and transactions of Libraries NI rather than the organisational structure. A functional approach is used because organisational structures are subject to change, whereas business functions remain relatively constant.

The business functions listed in the Schedule are:

Accommodation and Equipment: This is the function of managing accommodation and equipment. It includes activities associated with the acquisition, construction, operation, maintenance, allocation and disposal of buildings, land and workspace owned or leased by Libraries NI.

Financial Management: This is the function of managing financial resources. It includes activities associated with accounting, budget allocations and submissions, procurement, funding and asset management.

Audit and Accountability: This is the function of examining and reviewing operational and financial records to ensure they correctly record events, decisions, processes, transactions and activities undertaken during the course of business. It includes records associated with compliance, litigation and liaison with legal services, fraud and risk management.

Human Resource Management: This is the function of controlling, monitoring and managing employees. It includes activities associated with performance, development, welfare, health and safety issues, grievances, industrial relations, pay, pension, allowances, establishment and recruitment.

Information and Communication: This is the function of managing information and communication. It includes information governance (Freedom of Information, Data Protection etc.), interaction with government departments and the community, the maintenance of records, publications and the management of enquiries, comments and complaints.

Corporate Management and Administration: This is the function of planning, managing and monitoring medium to long-term corporate objectives and performance. It includes activities associated with corporate decision-making, business planning, quality assurance, business continuity and improvement processes.

2.4 Record and Record Holder

A record is defined as, “information created, received and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business” (BS ISO 15489-1:2016).

The record holder is the business unit or individual responsible for maintaining the master copy of a record. Occasionally more than one business unit may have responsibility for keeping the master copy of a record, for example petty cash, staff appraisals and return to work interviews.

2.5 Closing Files / Records

Paper and electronic files should be closed as soon as they have ceased to be of active use, other than for reference purposes. Once the retention period defined in the schedule has expired the record should be reviewed (Paragraph 2.7) to see if it has assumed new significance during its retention period.

A business area review should be carried out by the business area to ensure that no records are likely to be required for business continuity reasons. Where the business area confirms there is no longer an enduring business need for the record, the final action should be triggered accordingly. If there remains an administrative need to retain the record, the reviewer should state a further retention period, after which the final action will be triggered:

- where the disposal action is **Destroy**, the records must be kept for the minimum retention period listed in the Schedule and then destroyed (paragraphs 2.6 and 2.8) unless after review there is a need to retain the record, for example, an ongoing legal case, project or FOI
- where the disposal action is **PRONI Appraisal**, the records must be sent to the Data Protection Officer who will collaborate with PRONI to arrange the appraisal.
- where the disposal action is **Transfer to PRONI**, the records must be sent to the Data Protection Officer who will collaborate with PRONI to arrange the transfer (paragraph 2.9).
- where the disposal action is **Permanent Retention by Libraries NI**, arrangements should be made to retain the information (paragraph 2.9.1).

2.6 Retention Period

The retention period is the length of time a record must be retained before the method of disposal can be applied. Retention periods are calculated from the date on which the file/record is closed. For example, if the retention period specified in the Schedule is five years and the final action is specified as destruction, a record closed on the 31 March 2015 can be destroyed on 31 March 2020.

The retention periods listed in this Schedule are minimum retention periods. To ensure compliance with Data Protection Principles (Data Protection Legislation, 2018) it is recommended that minimum retention periods are not exceeded where personal data is being held.

Heads of Sections are responsible for ensuring that the retention periods listed in the Schedule are appropriate for business, legislative and regulatory purposes.

2.7 Review Process

The Heads of Sections (IAOs) should review all files, both paper and electronic, within their area to ensure no records are likely to be required for business continuity reasons.

Where the Business Area confirms there is no longer an enduring business need for the record, the final action should be triggered accordingly. If there remains an administrative need to retain the record, the reviewer should state a further retention period, after which the final action will be triggered.

2.8 Categories of Disposal / Applying the Final Actions

All records, whether paper or electronic, will be subject to disposal by one of the following methods:

I. Destroy

These records are held by Libraries NI for the retention period stated in the Schedule. Once the record has reached the end of the retention period and the business area has confirmed there is no longer a business or legal reason to retain it Libraries NI can arrange for their destruction. An audit trail should be kept which documents disposal actions.

Records which have reached the end of their lifecycle will be destroyed in a manner commensurate with the sensitivity of their content, after the retention period listed in the Schedule for that type of record has elapsed. All units will maintain a record of files destroyed or deleted.

Further guidance on the destruction of records is provided in Libraries NI's Records Management Procedure.

II. Permanent Retention by Libraries NI

This final action should be used by exception. It will be rare that Libraries NI has business need to retain records beyond 20 years. This category should not be used for records which are required for reference purposes. It should relate to containers/files which are actively in everyday business use.

If Libraries NI subsequently determines to dispose of records in this category, it will only do so following consultation with PRONI and a revision to this Schedule.

III. PRONI Appraisal (First and Second Review)

Records that have the final action 'PRONI Appraisal' are those which may be of future historical significance. Libraries NI should ensure that PRONI Appraisal takes place at the following points:

- First Review – is completed approximately 5 years after the date of last paper and when the business area has confirmed it has no ongoing administrative need for the record; and
- Second Review – is completed in a timescale appropriate to ensure transfer to PRONI by the time they reach 20 years old.

IV. PRONI Permanent Preservation

Records identified for permanent preservation by PRONI should be retained by Libraries NI and transferred to PRONI once they are approaching 20 years old. Such records may be included in the annual release of files, so transfer may need to take place at least one year in advance.

Libraries NI should provide a list of those records identified for permanent preservation to PRONI. PRONI shall issue a warrant to transfer the records into their custody. Records must transfer with a sensitivity review completed, and with PR-14H information supplied detailing all closure reasons in compliance with the FOIA s46 Records Management Code of Practice.

2.9 Transfer of Records to PRONI

Records selected for transfer to PRONI will do so under warrant and access decisions will be completed for each file/container. Any redactions which are to be applied should be clearly specified.

In 2025, PRONI will complete the transition to the 20 Year Rule.

However, in line with the Public Records Act (NI) 1923 (s.3(c)), certain record classes may be designated by the Public Authority for 'early transfer', usually because the record class is open and the information is already available in the public domain. In

rare circumstances (for example, if the creating organisation is facing imminent dissolution, or a Public Inquiry wishes to transfer the complete record urgently), PRONI can accept early transfer.

2.9.1 Retaining Historical Records

Records identified for 'Permanent Preservation in PRONI' that have been selected by PRONI following appraisal are transferred to PRONI by age 20 years.

Where Libraries NI identifies a need to retain certain records after they reach 20 years old, a ministerial certificate will be required, and must be completed annually to remain in the custody of Libraries NI, in accordance with s.3 (d) of the Public Records Act (NI) 1923.

Section 3 Schedule

3.1 Accommodation and Equipment

This is the function of managing accommodation and equipment. It includes activities associated with acquisition, construction, operation, maintenance, allocation and disposal of buildings, land and workspace owned or leased by Libraries NI.

Accommodation and Equipment					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
1.1	Premises (construction, maintenance and management)				
1.1.1		Ordinary contracts with successful tender documents (includes capital projects, minor works, maintenance schedules and Bills of Quantity details, planning permissions and building control approvals, post project evaluations etc.)	7 years after contract ends.	Limitations (NI) Order 1989 Legal Contract Documentation Business Need	Destroy (actions for defects on buildings permitted up to 12 years)
1.1.2		Contracts under seal with successful tender documents (includes capital projects, minor works, maintenance schedules and Bills of Quantity details, planning permissions and building	12 years after contract ends	Limitations (NI) Order 1989 Legal Contract Documentation Business Need	Destroy (actions for defects on buildings permitted up to 12 years)

		control approvals, post project evaluations etc.)			
1.1.3		Tender Documents unsuccessful tenders	7 years	Limitations (NI) Order 1989 Business Need	Destroy
1.1.4		Design Specifications	12 years	Limitations (NI) Order 1989 Legal contract documentation Business need	Destroy
1.1.5		Architectural Drawings (master copy)	Retain whilst LNI Property	Legal contract documentation Corporate value	PRONI Appraisal
1.1.6		Architectural Drawings (other copies)	1 year	Business Need	Destroy
1.1.7		Non-building Tender Documents / Contracts etc.		See Financial Management - Asset Management and Procurement – 2.2.2 and 2.2.3	
1.1.8		Monitoring and reviewing the quality, efficiency and performance of buildings (includes accreditation and standards)	Retain whilst LNI Property	Legal contract documentation Business Need Energy Performance of Buildings Regulations	Destroy
1.1.9		Asbestos Surveys (central register maintained / paper copies held at individual locations)	Retain whilst LNI property	The Control of Asbestos Regulations	Destroy
1.1.10		Radon Surveys (master copy)	50 years	Ionising Radiation Regulations	Destroy

Ref: No	Class	Accommodation and Equipment			Final Action
		Series	Retention Period	Legislation/ Rationale	
1.1.11		Asbestos Permit to Work (relating to removal/repair of asbestos)	5 years	The Control of Asbestos Regulations Control of Substances Hazardous to Health Regulations	Destroy
1.1.12		Contracts for Asbestos Work	12 years	The Control of Asbestos Regulations	Destroy
1.1.13		Contracts for Asbestos Work (where litigation involved)	40 years	The Control of Asbestos Regulations	Destroy
1.1.14		Title Deeds	Retain whilst LNI Property	Best Practice Guidelines NICS Corporate Functions	Transfer to new owner
1.1.15		Wayleave documents	Retain whilst LNI Property	Business need	Destroy
1.1.16		Premises closures	7 years	Best Practice Guidelines NICS Corporate Functions	Destroy
1.2	Capital Development				
1.2.1		Acquisition of land / property	Retain whilst in LNI ownership	Business Need Best Practice Guidelines NICS Corporate Functions	Destroy
1.2.2		Disposal of land / property	12 years (unless reversionary clauses exist when records must be retained)	TNA: Project Records	Destroy
1.2.3		Details of vacant properties	Retain whilst LNI property	Business Need	Destroy
1.2.4		Strategic Capital Development Plan (Assets Management Plan)	5 years after end of subsequent plan	Business Need Best Practice Guidelines NICS Corporate Functions	PRONI Appraisal

Accommodation and Equipment					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
1.2.5		Outline Business Case	10 years after final decision	Business Need TNA: Project Records	Destroy
1.2.6		Final Business Case	25 years after premises opens / project ends (unless contractual obligations indicate otherwise)	Business Need Contractual Obligations	Destroy
1.2.7		PPP/PFI Projects - all files / papers	25 years (unless contractual obligations indicate otherwise)	TNA: Project Records 25 years.	PRONI Appraisal
1.2.8		Post Project Evaluation for ordinary contracts	7 years after contract ends	Limitations (NI) Order 1989 TNA: Buildings – 7 years after contract ends. Business need	Destroy
1.2.9		Post Project Evaluation for contracts under seal	12 years after contract ends	Limitations (NI) Order 1989 Business need	Destroy
1.2.10		Ordinary Minor Works	7 years after contract ends	Business Need Contractual Obligations	Destroy
1.2.11		Minor works under seal	12 years after contact ends.	Business need Contractual Obligations	Destroy
1.2.12		LPS Assets Register (valuation of land and buildings)		See Financial Management - Asset Management and Procurement - Fixed Assets Register – 2.2.7	
1.3	Maintenance				
1.3.1		Planned Maintenance Programme	6 years	Business need The Limitation (NI) Order 1989	Destroy
1.3.2		Property Maintenance Records	Retain whilst LNI property	Business need The Limitation (NI) Order 1989	Destroy

Accommodation and Equipment					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
1.3.3		Building Condition Surveys	Retain whilst LNI property	Corporate value The Limitation (NI) Order 1989	Transfer to new owner
1.3.4		Minor condition surveys and reports (includes equipment and premises)	1 year	Business need	Destroy
1.3.5		Service Level Agreements	7 years after agreement ends	Business Need Best Practice Guidelines NICS Corporate Functions	Destroy
1.4	Health and Safety (premises and equipment)			See also Human Resource Management - Health and Safety (employees) – 4.3	
1.4.1		Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) e.g. lead, asbestos etc.	40 years from date of report	Reporting of Injuries Diseases and Dangerous Occurrences Regulations 1995	Destroy
1.4.2		Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) radon	50 years from date of report	Reporting of Injuries Diseases and Dangerous Occurrences Regulations 1995	Destroy
1.4.3		Health Surveillance (general exposure to substances hazardous to health)	5 years from date of incident	TNA: Buildings Records	Destroy

Accommodation and Equipment					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
1.4.4		Health Surveillance (where employee exposed to substance hazardous to health)		See also Human Resource Management - Health and Safety (employees) – 4.3.6 & 4.3.7	
1.4.5		Accident / Incident Reports	7 years after final action.	Business Need Health & Safety at Work (NI) Order 1978 Management of Health & Safety Regulations 2000. Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (Northern Ireland) 1997 The Limitations (NI) Order 1989	Destroy
1.4.6		Accident / Incident Reports where a child is involved	Retain until child is 23 years or 26 years if child has special education needs.	Business Need The Limitations (NI) Order 1989 Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (Northern Ireland) 1997, The Limitation (NI) Order 1989	Destroy
1.4.7		Accident / Incident Reports (where litigation present)		See Audit and Accountability - Legal Accountability – 3.5.11	
1.4.8		Safeguarding / Child Protection Incidents	Child's DOB + 30 years	DENI circular 2016/20 Child Protection Record Keeping	Destroy
1.4.9		Motor Vehicle Accident Reports		See Audit and Accountability - Legal Accountability - Motor Vehicle Accident Files – 3.5.10	
1.4.10		Record of personnel in the building for fire safety purposes	2 years	Business need Fire Safety Regulations (NI) 2010 Health and Safety at Work Act (NI) Order 1978	Destroy

Accommodation and Equipment					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
1.4.11		Weekly and Six monthly fire evacuation drill and Defibrillator Tests	2 years	Business need Fire Safety Regulations (NI) 2010 Health and Safety at Work Act (NI) Order 1978	Destroy
1.4.12		Fire Prevention / Fire Safety Log (includes quarterly and annual tests)	5 years	Business need Fire Safety Regulations (NI) 2010 Health and Safety at Work Act (NI) Order 1978	Destroy
1.4.13		Weekly Fire Alarm Test Logs	2 years	Business need Fire Safety Regulations (NI) 2010	Destroy
1.4.14		General Emergency Evacuation Plans (GEEP)	2 years	Business need Fire Safety Regulations (NI) 2010	Destroy
1.4.15		Emergency Lights Tests	2 years	Fire Safety Regulations (NI) 2010 Health and Safety at Work Act (NI) Order 1978	Destroy
1.4.16		Security / Alarm Systems / CCTV Equipment - Maintenance Logs	Life of equipment + 1 year	Business need Fire Safety Regulations (NI) 2010 Health and Safety at Work Act (NI) Order 1978	Destroy
1.5	Transport (Mobiles and Delivery Vans)				
1.5.1		Vehicle Summary File (includes details of inspections, maintenance logs, inventory etc.)	7 years	Best Practice Guidelines NICS Corporate Functions	Destroy
1.5.2		Vehicle Insurance and Accidents		See Audit and Accountability - Legal Accountability - Insurance – 3.5.4 and 3.5.5	

Accommodation and Equipment					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
1.5.3		Vehicle Log Sheets		See Financial Management - Accounting - Vehicle Log Sheet – 2.1.9	
1.5.4		Driving Eligibility (Drivers' Files)		See Human Resource Management - Personnel 4.6.7	

3.2 Financial Management

This is the function of managing financial resources. It includes activities associated with accounting, budget allocations and submissions, procurement, funding and asset management. See Human Resource Management for activities associated with pay, pension and allowances.

Financial Management					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
2.1	Accounting				
2.1.1		Cheques and associated records / Cheque journal listings	7 years	Companies Act 2006 TNA: Accounting Records	Destroy
2.1.2		Records of payments made by BACS and other electronic payments or transfers made	7 years	Companies Act 2006	Destroy
2.1.3		Approval in relation to bank accounts, credit cards, signatories	7 years	Companies Act 2006	Destroy
2.1.4		Bank Deposits (includes cash sheets,/banking sheets,lodgement slips and butts, receipts/reports, till rolls, No sale/void books, donations, remittances etc.)	7 years	Companies Act 2006 TNA: Accounting Records	Destroy
2.1.5		Bank Reconciliation records / Bank Statements	7 years	Companies Act 2006 TNA: Accounting Records	Destroy
2.1.6		Trial Balances and Reconciliations	7 years	TNA: Accounting Records	Destroy

Financial Management					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
2.1.7		Petty Cash (includes summary sheets and original invoices)	7 years	Companies Act 2006 TNA: Accounting Records	Destroy
2.1.8		Provision of Hospitality approval forms etc.)	7 years	Business Need	Destroy
2.1.9		Vehicle Log Sheets	7 years	Best Practice Guidelines NICS Corporate Functions	Destroy
2.1.10		Quotes / Quotation sheets for orders not on listed official suppliers lists e.g. Events & Hospitality	7 years	Business Need	Destroy
2.1.11		Purchase Orders (includes requisition of goods/services)	7 years	TNA: Accounting Records	Destroy
2.1.12		Supplier invoices, credit notes, delivery dockets	7 years	Companies Act 2006 TNA: Accounting Records	Destroy
2.1.13		Supplier ledger (includes transaction history)	7 years	Companies Act 2006	Destroy
2.1.14		Suppliers (list of approved suppliers)	An active document – updated regularly	TNA: Contractual Records	Permanent Retention by Libraries NI
2.1.15		Debtor Records (includes transaction history)	7 years	Companies Act 2006 TNA: Accounting Records	Destroy
2.1.16		Income-related records (includes room hire, waived library fines, replacement charge for lost/damaged stock, sundry income)	7 years	Companies Act 2006 TNA: Accounting Records	Destroy

Ref: No	Class	Series	Financial Management		
			Retention Period	Legislation/Rationale	Final Action
2.1.17		Accounting Journals (journals for the raising of charges and routine adjustments)	7 years	TNA: Accounting Records	Destroy
2.1.18		Records of checks by Service Managers	7 years	Business Need	Destroy
2.2	Asset Management and Procurement				
2.2.1		Business Case for the purchase of goods and services where a tender is not required	7 years	Best Practice Guidelines NICS Corporate Functions	Destroy
2.2.2		Tender Documentation: Goods and Services - successful tenders (includes business case, invitation to tender, evaluations, approvals, contract, statements of interest etc.)	7 years after contract ends (12 years after contract ends for contracts under seal)	Business need The Limitation (NI) Order 1989 TNA: Contractual Records Best Practice Guidelines NICS Corporate Functions	Destroy
2.2.3		Tender Documentation: Goods and Services - unsuccessful tenders	1 year after tender exercise completed	TNA: Contractual Records	Destroy
2.2.4		Statements of Interest (regarding tender process)	7 years after contract ends (12 years after contract ends for contracts under seal)	Business need The Limitation (NI) Order 1989 TNA: Contractual Records Best Practice Guidelines NICS Corporate Functions	Destroy

Financial Management					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
2.2.5		Tender Documents for buildings		See Accommodation and Equipment - Premises sections 1.1.1 & 1.1.2	
2.2.6		Post Project Evaluation (goods and services)	7 years Where contract exists retain for 7 years after contract ends or 12 years for contracts under seal	Business Need TNA: Project Records	Destroy
2.2.7		Fixed Assets Register (includes valuation of land and buildings)	Permanent Retention	Companies Act 2006 TNA: Accounting Records	Permanent Retention by Libraries NI
2.2.8		Inventories / Registers of equipment, furniture, library stock etc.	Permanent Retention	TNA: Accounting Records	Permanent Retention by Libraries NI
2.2.9		Disposal of goods (includes equipment, furniture, library stock etc.)	7 years	Business Need Best Practice Guidelines NICS Corporate Functions	Destroy
2.2.10		Records relating to serious matters of theft, fraud, misappropriation	10 years after investigation / action completed	TNA: Central Expenditure Records	PRONI Appraisal
2.2.11		Records relating to minor matters of theft, fraud, misappropriation	6 years after investigation / action completed	TNA: Central Expenditure Records	Destroy
2.3	Budgeting				
2.3.1		Budgetary control records (includes monthly budget reports to managers etc.)	7 years	Business Need	Destroy

Ref: No	Class	Series	Financial Management		
			Retention Period	Legislation/Rationale	Final Action
2.4	Funding				
2.4.1		Allocation Letters from Dept. for Communities (includes Comprehensive Spending Review)	7 years	TNA: Central Expenditure Records	Destroy
2.4.2		External funding - successful applications (all documentation)	7 years after last action	TNA: Central Expenditure Records	Destroy
2.4.3		External Funding - unsuccessful applications	2 years	Business Need	Destroy
2.4.4		EU funded initiatives (all documentation)	10 years after initiative completed	Best Practice Guidelines NICS Corporate Functions	Destroy
2.5	Reporting				
2.5.1		Annual Report and Accounts	4 years	Business Need	Transfer to PRONI
2.5.2		Financial Statements for Management	3 year post approval of annual accounts	Business Need	Destroy
2.5.3		Departmental Monitoring Returns	7 years	Best Practice Guidelines NICS Corporate Functions	Destroy
2.5.4		Payroll extracts and reports from My Options/Open Options/Civica	2 years	Working Time Regulations 1998 TNA: Accounting Records	Destroy
2.5.5		Savings Delivery Plan	7 years after cycle to which the plan applies	Business Need Best Practice Guidelines NICS Corporate Functions	Destroy

3.3 Audit and Accountability

This is the function of examining and reviewing operational and financial records to ensure they correctly record events, decisions, processes, transactions and activities undertaken during the course of business. It includes records associated with compliance, litigation and liaison with legal services, fraud and risk management.

Audit and Accountability					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
3.1	External Audit				
3.1.1		External Audit Reports	6 years after report completed	TNA: Central Expenditure Records	Destroy
3.2	Internal Audit				
3.2.1		Internal Audit Reports	6 years after superseded or updated	Business Need TNA: Internal Audit Records	Destroy
3.2.2		Audit meetings		See Corporate Management and Administration - Board and Committees and Meetings section 6.1.5 & 6.1.6	
3.2.3		Audit Working Papers	6 years (10 years for fraud cases)	Business Need TNA: Internal Audit Records	Destroy
3.2.4		Audit Correspondence	3 years	Business Need TNA: Internal Audit Records	Destroy
3.2.5		Audit Terms of Reference	6 years	Business Need	Destroy
3.2.6		Audit Programmes / Plans / Strategies	3 years from last date on the plan	Business Need	Destroy
3.2.7		Internal Audit Annual Report to Board	3 years after adoption by the Board	Business Need TNA: Internal Audit Records	Destroy
3.2.8		Internal Audit Guides	3 years after superseded or updated	Business Need TNA: Internal Audit Records	Destroy
3.2.9		Governance Manuals and Guides relating to departmental procedure	1 year after superseded or updated	Business Need Best Practice Guidelines NICS Corporate Functions	Destroy
3.2.10		Register of Gifts and Hospitality	7 years	Best Practice Guidelines NICS Corporate Functions Business Need	Destroy

Audit and Accountability					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
3.2.11		Declaration of Interests Register	7 years	Business Need Corporate value	Destroy
3.2.12		Details of equipment lost or damaged	7 years	Business Need	Destroy
3.3	Fraud Management				
3.3.1		Fraud Response Plan	1 year after superseded or updated	Business Need TNA: Internal Audit Records	Destroy
3.3.2		Fraud Investigations / whistle blowing	10 years after investigation completed (or in line with retention schedule of external investigatory body)	Business Need Best Practice Guidelines NICS Corporate Functions TNA: Internal Audit Records	PRONI Appraisal
3.4	Risk Management				
3.4.1		Risk Management Plans	5 years after superseded or updated	Business Need Best Practice Guidelines NICS Corporate Functions	Destroy
3.4.2		Risk Registers	6 years after superseded or updated	Business Need Best Practice Guidelines NICS Corporate Functions	Destroy
3.4.3		Risk Assessments	5 years after superseded or updated	Business Need Best Practice Guidelines NICS Corporate Functions	Destroy
3.5	Legal Accountability				
3.5.1		Litigation (records relating to any form of litigation)	7 years after settlement	Business need. The Limitation (NI) Order 1989 Best Practice Guidelines NICS Corporate Functions	Destroy
3.5.2		Public Liability Claims	7 years after settlement.	Best Practice Guidelines NICS Corporate Functions	Destroy

Audit and Accountability					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
3.5.3		Public liability claims where a child is involved	Retain until child is 23 years or 26 years if child has special educational needs	Business Need	Destroy
3.5.4		Employer Liability Claims	7 years after settlement	Best Practice Guidelines NICS Corporate Functions	Destroy
3.5.5		Insurance Claims	7 years after settlement	Best Practice Guidelines NICS Corporate Functions	Destroy
3.5.6		Insurance policies & certificates	1 year after superseded or updated	Business Need	Destroy
3.5.7		TV Licences	3 years post validity	Business Need	Destroy
3.5.8		Entertainment and Copyright Licences	3 years post validity	Business Need	Destroy
3.5.9		Software Licences		See Information and Communication - ICT section 5.2.3	
3.5.10		Debt Recovery	7 years after settlement or write-off	TNA: Central Expenditure Records TNA: Accounting Records	Destroy
3.5.11		Motor Vehicle Accident Files	7 years after accident or when proceedings completed. Where a child is involved retain until child is 23 years or 26 years if child has special educational needs	Business Need Best Practice Guidelines NICS Corporate Functions	Destroy
3.5.12		Accidents / Incidents Reports where litigation	7 years after claim settled.	Business Need Best Practice Guidelines NICS Corporate Functions	Destroy

Audit and Accountability					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
3.5.13		Accidents / Incidents where a child is involved. Reports where litigation	Retain until child is 23 years or 26 years if child has special educational needs. If a Safeguarding / Child Protection issue retention period is child's DOB + 30 years	Business Need Best Practice Guidelines NICS Corporate Functions	Destroy

3.4 Human Resource Management

This is the function of controlling, monitoring and managing employees. It includes activities associated with performance, development, welfare, health and safety issues, grievances, industrial relations, pay, pension, allowances, establishment and recruitment.

Human Resource Management					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
4.1	Employee Performance				
4.1.1		Staff Appraisal	4 years	Business Need	Destroy
4.1.2		Induction Checklists	7 years after service ends	Business Need	Destroy
4.1.3		Probationary Report	7 years after service ends	Business Need	Destroy
4.1.4		Discipline / verbal warning (proven)	Removed from Personnel File 6 months from date of issue	Business Need	Destroy
4.1.5		Discipline / written warning (proven)	Removed from Personnel File 12 months from date of issue	Business Need	Destroy
4.1.6		Discipline / final warning (proven)	Removed from Personnel File 12 months from date of issue	Business Need	Destroy
4.1.7		Discipline/ investigation data and information gathered (proven/no action)	3 years after the case closed/last action	Business Need	Destroy

Human Resource Management					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
4.1.8		Discipline / investigations where the final decision is that no disciplinary action is necessary	No record to be retained on personal file	Business Need	Destroy
4.1.9		Records relating to disciplinary action or grievance resulting in changes to terms and conditions of service, salary, performance pay or allowances etc.	7 years after service ends	The Limitation (NI) Order 1989	Destroy
4.1.10		Harassment Investigations (includes Appeal to Labour Relations Agency)	4 years after investigation or appeal process completed	Business Need	Destroy
4.1.11		Industrial Tribunal case papers	7 years after case closed	Best Practice Guidelines NICS Corporate Functions	Destroy
4.2	Industrial Relations				
4.2.1		Industrial Relations - major matters (includes negotiated agreements relating to pay, terms and conditions etc.)	20 years	Business Need	Destroy
4.2.2		Industrial Relations - minor matters	2 years after last action	Business Need	Destroy
4.3	Health and Safety (Employees)			See also Accommodation and Equipment - Health and Safety section 1.4	
4.3.1		Records relating to injury on duty	7 years after service ends	The Limitation (NI) Order 1989	Destroy

Human Resource Management					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
4.3.2		Accident Report Forms		See Accommodation and Equipment - Health and Safety section 1.4.5 & 1.4.6 and Audit and Accountability - Legal Accountability section 3.5.11	
4.3.3		Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR)	50 years from date of last entry	Reporting of Injuries Diseases and Dangerous Occurrences Regs 1995 Ionising Radiation Regs 1985 Control of Asbestos Regs 1996 Control of Lead Regs 1986 etc. TNA: Employee Personnel Records	Destroy
4.3.4		Medical records of individuals exposed to a substance hazardous to health e.g. lead, asbestos	40 years from date of last entry	Reporting of Injuries Diseases and Dangerous Occurrences Regs 1995 Control of Asbestos Regs 1996 Control of Lead Regs 1986 etc. TNA: Employee Personnel Records	Destroy
4.3.5		Medical records of individuals exposed to radiation	50 years from date of last entry	Reporting of Injuries Diseases and Dangerous Occurrences Regs 1995 Ionising Radiation Regs 1985 TNA: Employee Personnel Records	Destroy
4.3.6		Health Surveillance (individuals who are liable to be exposed to a substance hazardous to health)	40 years from date of last entry	TNA: Employee Personnel Records	Destroy
4.3.7		Health Surveillance (individuals who are liable to be exposed to radiation)	50 years from date of last entry	TNA: Employee Personnel Records	Destroy
4.4	Attendance and Leave				
4.4.1		Time and Attendance records (My Options/Open Options)	7 years	Business Need	Destroy

Human Resource Management					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
4.4.2		Time Sheets / Confirmation of Hours Worked - Agency Staff	2 years	Working Time Regulations 1998 Business Need	Destroy
4.4.3		Staff Signing- in Book	2 years	Working Time Regulations 1998 Business Need	Destroy
4.4.4		Flexi Sheets	2 years	Working Time Regulations 1998 Business Need	Destroy
4.4.5		Annual Leave Entitlement	7 years after service ends	Business Need	Destroy
4.4.6		Unpaid, Special and Personal Leave	7 years after service ends	TNA: Employee Personnel Records	Destroy
4.4.7		Study Leave	2 years after course completed	Business Need	Destroy
4.4.8		Maternity / Adoption / Paternity Leave	7 years after service ends	TNA: Employee Personnel Records	Destroy
4.4.9		Sick Absence Records / Self Certified Sick Forms / GP Sickness Certificates	3 years unless required for legal purposes/material change to terms and conditions of contract, in which case 7 years after service ends	TNA: Employee Personnel Records	Destroy
4.4.10		Sick Absence Records for employees exposed to substances hazardous to health		See Human Resource Management - Health and Safety (employees) section 4.3	
4.4.11		Medical Referrals	7 years after service ends	TNA: Employee Personnel Records	Destroy

Human Resource Management					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
4.4.12		Return to Work Interviews	1. Copies added to Personnel after service ends 2. Copies held locally by managers retain for two years in line with sickness forms with the exception of litigation claims. Copies sent to HR when service ends	Business Need	Destroy
4.5	Pay, Pension and Allowances				
4.5.1		Payroll history of individuals (includes payments, deductions, arrears, increments, gross and net calculations)	1. Payroll retain - 7 years 2. HR retain - 7 years after service ends	Taxes Management Act 1970 TNA: Employee Personnel Records Business Need	Destroy
4.5.2		Pension details - Personnel File (includes added years, Additional Voluntary Contributions etc.)	7 years after service ends.	TNA: Employee Personnel Records Business Need	Destroy
4.5.3		Pension details – Payroll (includes added years, Additional Voluntary Contributions etc.)	10 years	LGPS (Benefits, Membership and Contributions) Regulations (NI) 2009 Business Need	Destroy
4.5.4		P60 / P35 HMRC and NILGOSC returns	1. Payroll retain 7 years 2. HR retain 7 years after service ends	Taxes Management Act 1970 & Pension Regulations Business Need Best Practice Guidelines NICS Corporate Functions	Destroy

Human Resource Management					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
4.5.5		Tax forms - change of tax codes	1. Payroll retain 7 years 2. HR retain 7 years after service ends	Taxes Management Act 1970 Business Need Note general HMRC requirement retain for at least 5 years after the 31 January submission deadline of the relevant tax year.	Destroy
4.5.6		Bank / Building Society details	1. Payroll retain - 7 years 2. HR retain- 7 years after service ends	Taxes Management Act 1970 Business Need Best Practice Guidelines NICS Corporate Functions	Destroy
4.5.7		Statutory Sick Pay Forms	7 years	Statutory Sick Pay Regulations 2014 Best Practice Guidelines NICS Corporate Functions Business Need	Destroy
4.5.8		Statutory maternity or paternity pay documentation	1. Payroll retain 4 years 2. HR retain 7 years after service ends	Statutory Maternity Pay Regs 1986 Business Need TNA: Employee Personnel Records Best Practice Guidelines NICS Corporate Functions	Destroy
4.5.9		Overpayment documentation	7 years after payment or write-off	Limitations Act 1980 TNA: Employee Personnel Records Best Practice Guidelines NICS Corporate Functions	Destroy
4.5.10		Deduction Authorisation	7 years after service ends	Tax Management Act 1970 TNA: Employee Personnel Records Best Practice Guidelines NICS Corporate Functions Business Need	Destroy

Human Resource Management					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
4.5.11		Travel and Subsistence (includes Transfare records, car approval form, receipts)	7 years	Taxes Management Act 1970 Business Need TNA: Employee Personnel Records Best Practice Guidelines NICS Corporate Functions	Destroy
4.5.12		Redundancy	7 years after service ends	Taxes Management Act 1970 Business Need Best Practice Guidelines NICS Corporate Functions	Destroy
4.5.13		Earnings Enquiries	7 years	Business Need Best Practice Guidelines NICS Corporate Functions	Destroy
4.6	Personnel				
4.6.1		Personal details of individual staff (includes address, contact details)	7 years after service ends	TNA: Employee Personnel Records Business Need Best Practice Guidelines NICS Corporate Functions	Destroy
4.6.2		Health Declaration (medical clearance)	7 years after service ends	Limitations (NI) Order 1989 TNA: Employee Personnel Records Business Need Management of Health and Safety at work Regulations (Northern Ireland) 2000 Best Practice Guidelines NICS Corporate Functions	Destroy
4.6.3		Qualifications, references, application form etc.	7 years after service ends	TNA: Employee Personnel Records Business Need Best Practice Guidelines NICS Corporate Functions	Destroy
4.6.4		Staff Welfare Records (includes capability reports, adjustments, restrictions, recommendations)	7 years after service ends	Limitations (NI) Order 1989 TNA: Employee Personnel Records Business Need	Destroy

Human Resource Management					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
4.6.5		Notification of Changes (includes grade, pay, hours, location, working pattern, deductions)	7 years after service ends	Limitations (NI) Order 1989 TNA: Employee Personnel Records Best Practice Guidelines NICS Corporate Functions Business Need	Destroy
4.6.6		Part time / Job Share / Flexible work patterns (includes applications, decisions, correspondence)	7 years after service ends	Limitations (NI) Order 1989 Business Need	Destroy
4.6.7		Driving Eligibility / Drivers' Files (includes photocopy of licence, DVA Mandate for the Release of Information)	7 years after service ends	Best Practice Guidelines NICS Corporate Functions Business Need	Destroy
4.7	Staffing				
4.7.1		Recruitment and Selection Documentation - all stages - vacancy through to appointment	2 years	Business Need. Best Practice Guidelines NICS Corporate Functions	Destroy
4.7.2		Criminal Background Check	Minimum of 90 days after the certificate is issued	Access NI Code of Practice 2012 Best Practice Guidelines NICS Corporate Functions	Destroy
4.7.3		Eligibility to work in UK	7 years after service ends	Business Need	Destroy
4.7.4		Employment Contract - signed by staff on appointment (includes contract variations and TUPE records)	7 years after service ends	Limitations (NI) Order 1989 TNA: Employee Personnel Records Best Practice Guidelines NICS Corporate Functions	Destroy

Human Resource Management					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
4.7.5		Job Description (includes terms, conditions and pay)	7 years after service ends	TNA: Employee Personnel Records Best Practice Guidelines NICS Corporate Functions	Destroy
4.7.6		Work Placements - salaried (includes students, interns etc.)	7 years after placement ends	Limitations (NI) Order 1989 Business Need	Destroy
4.7.7		Volunteers	7 years after volunteering ends	Limitations (NI) Order 1989 Business Need	Destroy
4.7.8		Work Experience / student placements	3 years after placement ends	Business Need	Destroy
4.7.9		Job Evaluation Information	5 years after superseded or updated	Limitations (NI) Order 1989 Business Need	Destroy
4.7.10		Job Evaluation Documentation (individual cases)	7 years after service ends	Limitations (NI) Order 1989 Business Need	Destroy
4.7.11		Termination Documentation (signed when service ends)	7 years after service ends	TNA: Employee Personnel Records Best Practice Guidelines NICS Corporate Functions Business Need	Destroy
4.7.12		Equal Opportunities Monitoring Forms	2 years	Business Need	Destroy
4.8	Staff Training and Development				
4.8.1		Training Needs (staff appraisal training pages)	7 years	Business Need	Destroy
4.8.2		Training Needs Analysis	7 years	Business Need	Destroy
4.8.3		Request / Permission to Attend Training Courses and Conferences	7 years	TNA: Employee Personnel Records Business Need	Destroy

Human Resource Management					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
4.8.4		Study Leave		See Human Resource Management - Attendance and Leave section 4.4.7	
4.8.5		Training - proof of attendance or completion (includes statutory, non-statutory and routine training)	7 years after termination of contract (unless there is a statutory requirement to keep for longer)	TNA: Employee Personnel Records Business Need	Destroy
4.8.6		Training relating to children - Safeguarding / Child Protection (includes proof of attendance, assessment and evaluation of training received)	7 years after service ends	Limitations (NI) Order 1989 Business Need	Destroy
4.8.7		Course Content / Programme (routine/non-statutory training)	2 years from date of course	Business Need	Destroy
4.8.8		Course Content / Programme (statutory training)	1 year after superseded or updated (unless there is a statutory requirement to keep for longer)	Business Need	Destroy
4.8.9		Evaluation of Training	7 years from date of course	Business Need	Destroy
4.8.10		Training Courses - general correspondence	5 years	Business Need	Destroy

3.5 Information and Communication

This is the function of managing information and communication. It includes information governance (Freedom of Information, Data Protection etc.), interaction with government departments and the community, the maintenance of records, publications and the management of responding to enquiries, comments and complaints.

Information and Communication					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
5.1	Management of Information				
5.1.1		Information Audits (includes surveys and questionnaires)	5 Years	TNA: Information Management Records	Destroy
5.1.2		Records of Processing Spreadsheet	3 years after superseded or updated	Data Protection Act 2018, UK GDPR Business Need	Destroy
5.1.3		Staff guidance on the management of records	3 years after superseded or updated	TNA: Information Management Records	Destroy
5.1.4		Retention and Disposal of Records Schedule	Permanent Retention	Freedom of Information Act 2000 TNA: Information Management Records The Public Records Act (Northern Ireland) 1923	Permanent Retention by Libraries NI
5.1.5		Details of records transferred to inactive records storage	10 years after all records disposed of	Business Need	Destroy
5.1.6		Details of records transferred to PRONI	Permanent retention	TNA: Information Management Records	Permanent retention by Libraries NI
5.1.7		Details of records destroyed / deleted	Permanent Retention	TNA: Information Management Records	Permanent Retention by Libraries NI
5.1.8		Data Interchange Agreements (includes Data Sharing Protocols & Data Sharing Agreements)	7 years after agreement ends	Data Protection Act 2018 and UK GDPR.	Destroy

Information and Communication					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
5.1.9		Data Protection Impact Assessments (Includes DPIA Screening Information)	The lifetime of the project plus 6 years	Data Protection Act 2018 and UK GDPR, Best Practice Guidelines NICS Corporate Functions	Destroy
5.1.10		Data Breach Incident Reports	5 years	Data Protection Act 2018 and UK GDPR Best Practice Guidelines NICS Corporate Functions	Destroy
5.1.11		Privacy Statement	6 years after superseded or updated	Data Protection Act 2018 and UK GDPR Cabinet office code of practice	Destroy
5.2	ICT				
5.2.1		Applications Support	7 years after application ceases to be used	Business Need	Destroy
5.2.2		Systems Management - Business Support Applications / Internet / Intranet / Networks	7 years after system ceases to be used	Business Need	Destroy
5.2.3		Software Licences	Retain for lifetime of software	Business Need	Destroy when software obsolete
5.2.4		Applications Development / Work Requests (e.g. Change Requests)	7 years	Business Need	Destroy
5.2.5		Mobile Phone Records	7 years after contract ends	Best Practice Guidelines NICS Corporate Functions Business Need	Destroy
5.3	Corporate Information				
5.3.1		Information Directories - personnel contact details etc.	1 year after superseded or updated	Business Need	Destroy

Information and Communication					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
5.3.2		Details of Statutory / Public Holidays and Ad-hoc Library Closures	7 years	Business Need	Destroy
5.3.3		Libraries NI Byelaws	1 year after superseded or updated	Business Need	PRONI Appraisal
5.4	Library Members and Visitors				
5.4.1		Registered Library User Contact Details	Kept until details are transferred to LMS, membership card issued and signed.	Business Need Data Protection Act 2018 & UK GDPR	Destroy
5.4.2		Permission for children to become library members	Kept until details are transferred to LMS, membership card issued and signed.	Business Need Data Protection Act 2018 & UK GDPR	Destroy
5.4.3		Permission for children to use the Internet	Keep secure until child is 16 years	Business Need Data Protection Act 2018 & UK GDPR	Destroy
5.4.4		Registered Adult Library User Details held on Library Management Systems / networks / servers	3 years after activity ceased	Business Need Data Protection Act 2018 & UK GDPR	Destroy
5.4.5		Registered Child Library User Details held on Library Management Systems / networks / servers	1 year after activity ceased	Business Need Data Protection Act 2018 & UK GDPR	Destroy
5.4.6		Archived Adult & Child Library User Details held on an Archive Database.	7 years	Business Need Data Protection Act 2018 & UK GDPR	Destroy

Information and Communication					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
5.4.7		Details of visitors (non-members) who pay to use the Internet etc.	1 month	Business Need Data Protection Act 2018 & UK GDPR	Destroy
5.5	Events				
5.5.1		Special Events (includes official openings, significant landmark celebrations etc.)	Permanent retention	Public Records (NI) Act 1923 TNA: Press and Public Relations Records	Permanent Retention by Libraries NI
5.5.2		Diary of Events / Day Book	3 years	TNA: Press and Public Relations Records	Destroy
5.5.3		Request and authorisation to hold / organise an event	3 years	Business Need	Destroy
5.5.4		Contact details of event participants	3 years	TNA: Press and Public Relations Records Data Protection Act 2018 & UK GDPR	Destroy
5.5.5		Evaluation of events and programmes by participants/ attendees	3 years	Business Need	Destroy
5.5.6		Evaluation of events and programmes by managers		See Corporate Management and Administration - Quality and Performance Management section 6.7	
5.6	Publications				
5.6.1		External Publications (includes stakeholder publications) master copy	Permanent Retention	Business Need Public Records Act (NI) 1923	Permanent Retention by Libraries NI
5.6.2		Publication Scheme	5 years after superseded or updated	Freedom of Information Act 2000	Destroy

Information and Communication					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
5.6.3		Images of adults (image taken by Marketing)	7 years	Data Protection Act 2018 & UK GDPR Business Need	Destroy
5.6.4		Permission to use images of adults taken at library events in LNI publications	3 years	Data Protection Act 2018 & UK GDPR Business Need	Destroy
5.6.5		Permission to use images of adults taken at library events in LNI publications where the image is used	Permanent retention	Data Protection Act 2018 & UK GDPR Business Need	Permanent Retention by Libraries NI
5.6.6		Images of children	3 years	Data Protection Act 2018 & UK GDPR Business Need	Destroy
5.6.7		Permission to use images of children taken at library events in LNI publications where the image is not used	3 years	Data Protection Act 2018 & UK GDPR Business Need	Destroy
5.6.8		Images of children used in LNI publications	2 years after publication	Data Protection Act 2018 & UK GDPR Business Need	Destroy
5.6.9		Permission to use images of children taken at library events in LNI publications where the image is used	Permanent Retention	Data Protection Act 2018 & UK GDPR Business Need	Permanent Retention by Libraries NI
5.6.10		Reprographic Design Work Requests	7 years	Business Need	Destroy
5.6.11		Reprographic Design Work	7 years	Business Need	Destroy
5.6.12		Archived Reprographic Design Work	20 years	Business Need	PRONI Appraisal

Information and Communication					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
5.6.13		Video (Promotional)	7 years	Business Need	Destroy
5.6.14		Archived video (Promotional)	7 years	Business Need	Destroy
5.6.15		Webinar (Video recording of a live event)	2 years	Business Need	Destroy
5.6.16		Archived webinar (Video recording of a live event)	2 years	Business Need	Destroy
5.6.17		Internal Communications (includes Insight, memos to all staff etc.)	3 years	Business Need	Destroy
5.7	Press and Public Relations				
5.7.1		Press releases to the media and public	3 years	Business Need	Destroy
5.7.2		Press Reports Digest (including cuttings)	7 years	TNA: Press and Public Relations Records	Destroy
5.7.3		Responses to Press Enquiries	3 years	TNA: Press and Public Relations Records	Destroy
5.8	Customer Relations				
5.8.1		Comments & Complaints	5 years	Business Need TNA: Complaints Records	Destroy
5.8.2		Comments and Complaints Surveys and Reports	5 years	Business Need TNA: Complaints Records	Destroy
5.9	Information Governance and Requests				
5.9.1		CCTV images	Retention periods will range from 7-28 days depending on the equipment used.	Business Need	Destroy

Information and Communication					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
5.9.2		Data Protection Subject Access Requests (includes personal data held in all formats)	3 years	Data Protection Act 2018 and UK GDPR	Destroy
5.9.3		Freedom of Information Requests	3 years	Business Need Freedom of Information Act 2000 Data Protection Act 2018	Destroy
5.9.4		Environmental Information Regulations Requests	3 years	Business Need Environmental Information Regulations 2004	Destroy
5.10	Government Liaison				
5.10.1		Parliamentary Questions (Working Documents)	7 years	Business Need	PRONI Appraisal
5.10.2		Assembly Questions (Working Documents)	7 years	Business Need	PRONI Appraisal
5.10.3		Statutory Returns - records relating to information passed to central government as a result of statutory requirements	7 Years	Business Need	Destroy

3.6 Corporate Management and Administration

This is the function of planning, managing and monitoring medium to long-term corporate objectives and performance. It includes activities associated with corporate decision-making, business planning, quality assurance, business continuity and improvement processes.

Corporate Management and Administration					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
6.1	Board and Committees				
6.1.1		Board Operating Framework	1 year after superseded or updated	Business Need	Destroy
6.1.2		Board Minutes (master copy)	10 years	Business Need	Transfer to PRONI
6.1.3		Board Associated Papers (Master Copies)	10 years	Business Need	Transfer to PRONI
6.1.4		Board Minutes and Papers (other / working copies)	1 year	Business Need	Destroy
6.1.5		Committee (Audit & Risk, Services, Business Support) minutes and associated papers (Master copy)	7 years	Business Need	Destroy
6.1.6		Committee (Audit & Risk, Services, Business Support) minutes and associated papers (Other copies)	1 year	Business Need	Destroy
6.1.7		Standing Orders (master copy)	1 year after superseded or updated	Business Need	Destroy
6.1.8		Board and Committee membership details	As this information is published in the Annual Report and Accounts retain only until superseded or updated	Business Need	Destroy

Corporate Management and Administration					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
6.1.9		Board and Committee Attendance	7 years	Business Need	Destroy
6.1.10		Board Member Appraisals	4 years	Business Need	Destroy
6.1.11		Gifts & Hospitality Register for Board Members	7 years	See Audit and Accountability - Internal Audit – 3.2.10	
6.1.12		Personal details of Board Members (includes address, contact details)	7 years after service ends	Business Need	Destroy
6.1.13		Board Members' Declaration of Interests		See Audit and Accountability - Internal Audit – 3.2.11	
6.2	Business Planning				
6.2.1		Corporate Plan	4 years	Business Need	Transfer to PRONI
6.2.2		Annual Business Plan	4 years	Business Need	Destroy
6.2.3		Annual Report and Accounts - submissions from individual units	Retain until report published	Business Need	Destroy
6.2.4		Audit and Risk Assurance Committee Annual Report	7 years after adoption by the Board	TNA: Internal Audit Records Business Need	Destroy
6.2.5		Annual Business Plans (includes operational / service planning documents)	7 years	Business Need	Destroy
6.2.6		Biannual Assurance Quality Statements	7 years	Business Need	Destroy
6.3	Emergency Planning				

Corporate Management and Administration					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
6.3.1		Emergency / Business Continuity Planning	1 year after superseded or updated	Business need The Limitation (NI) Order 1989	Destroy
6.4	Meetings				
6.4.1		Senior Management Team (master copy of minutes, papers)	10 years	Business Need	Destroy
6.4.2		Unit Management Team (master copy of minutes)	7 years	Business Need	Destroy
6.4.3		Staff meetings (master copy of minutes)	7 years	Business Need	Destroy
6.4.4		Internal Working Group (master copy of minutes)	7 years	Business Need	Destroy
6.4.5		Meetings with partners where LNI is designated official record keeper (master copy)	7 years	Business Need	PRONI Appraisal
6.4.6		Meetings with partners where LNI is not designated the official record keeper	7 years	Business Need	Destroy
6.5	Projects			See also Accommodation and Equipment - Capital Development section 1.2 and Financial Management - Assets Management and Procurement Section 2.2	
6.5.1		Project Proposals (major strategic projects) - approved (excludes Capital Development projects)	10 years after project completed or in line with any conditions of funding.	Business Need TNA: Project Records	PRONI Appraisal

Corporate Management and Administration					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
6.5.2		Project Proposals (major strategic projects) - rejected or deferred	10 years after final decision	Business Need TNA: Project Records	Destroy
6.5.3		Project Initiation Documents (PIDs) and supporting documentation (major strategic projects)	10 years after project completed	TNA: Project Records	Destroy
6.5.4		Project Team meetings - papers and minutes etc. (major strategic projects)	10 years after project completed	Business Need TNA: Project Records	Destroy
6.5.5		Project Board Documentation	10 years after project completed	Business Need TNA: Project Records	Destroy
6.5.6		PFI / PPP Project documentation (all files / papers)	25 years (unless contractual obligations indicate otherwise)	TNA: Project Records	PRONI Appraisal
6.5.7		Project Documentation (minor projects)	1 year after project completed	Business Need	Destroy
6.5.8		Post Project Evaluations		See Financial Management - Assets Management and Procurement - 2.2.6 and Accommodation and Equipment - Capital Development – 1.2.8	
6.6	Public Consultation				
6.6.1		Consultation on significant strategic policies (e.g. questionnaires)	5 years	Business Need	Destroy
6.6.2		Reports resulting from consultation on significant strategic policies (master copy)	5 years after superseded or updated	Business Need	Destroy

Corporate Management and Administration					
Ref: No	Class	Series	Retention Period	Legislation/Rationale	Final Action
6.6.3		Consultation on the development of minor policies	1 year	Business Need	Destroy
6.7	Quality and Performance Management				
6.7.1		Statistical information relating to the process of monitoring or reviewing the quality, efficiency or performance of services	7 years	Business Need Best Practice Guidelines NICS Corporate Functions	Destroy
6.7.2		Evaluating, monitoring and reviewing the quality, efficiency or performance of services , programmes and events	7 years	Business Need	Destroy
6.7.3		Final reports on the review of quality, efficiency or performance (master copy)	5 years after superseded or updated	Business Need	PRONI Appraisal
6.7.4		Monitoring and reviewing the quality, efficiency or performance of premises		See Accommodation and Equipment - Premises – 1.1.7	
6.8	Policy and Procedure				
6.8.1		Policies Register	Permanent Retention	Business Need	Permanent retention by Libraries NI
6.8.2		Policies and Procedures (includes development, implementation and review)	5 years after superseded or updated (unless there is a statutory requirement to retain for longer e.g. Safeguarding)	Business Need	Destroy

Corporate Management and Administration					
Ref. No	Class	Series	Retention Period	Legislation/Rationale	Final Action
6.9	Equality				
6.9.1		Equality Scheme	6 years after superseded or updated	s75 of the Northern Ireland Act 1998	Destroy
6.9.2		Equality Reports (includes annual progress, triennial review and quarterly screening reports)	6 years after superseded or updated	Business Need	Destroy
6.9.3		Equality Impact Assessments	6 years after publication of report on results of EQIA	S75 of the Northern Ireland Act 1998 Equality Commission for Northern Ireland Guide for Public Authorities on S75 of the Northern Ireland Act 1998	Destroy
6.9.4		Equality screening documentation for policy, procedure, service, strategy etc.	6 years after superseded or updated	S75 of the Northern Ireland Act 1998	Destroy
6.9.5		Equal Opportunities Monitoring	4 years after service ends	S75 of the Northern Ireland Act 1998	Destroy
6.10	Rural Needs	Rural Needs Impact Assessments	6 years after superseded or updated	Rural Needs Act (NI) 2016	Destroy

Section 4 Annex - Source for Rationale

Best Practice Guidelines NICS Corporate Functions

The National Archives (TNA:)

Section 5 Signatories



Department for
Communities
www.communities-ni.gov.uk



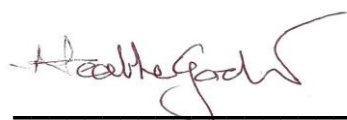
Northern Ireland Library Authority (Libraries NI) Retention and Disposal Schedule prepared as required by the Public Records Act (Northern Ireland), 1923 and in accordance with the Rules made pursuant thereto, approved by Order in Council dated 20 January 1925.



Desi Miskelly
Director of Business Support
Northern Ireland Library Authority



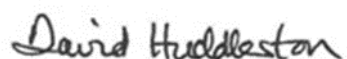
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Heather Gardiner
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Wesley Geddis
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